



#3

## THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named

Inventor : Hubertus E. M. STASSEN et al.

Appln. No. : 09/446,875

Filed : January 20, 2000

Title

: METHOD OF THERMALLY TREATING A  
CARBONACEOUS MATERIAL-COMPRISING  
AQUEOUS FLUID AND A APPARATUS  
THEREFOR

Bucket No. : B758.312-0001



**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED  
UNDER 37 C.F.R. 1.53(f) AND 1.16(e)**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Adjustment date: 01/16/2001 MNGUYEN  
06/28/2000 WCLAYBRO 0000042 110982 09446875  
01 FC:154 Sir: 65.00 CR 65.00 OP

I CERTIFY THAT THIS PAPER IS BEING SENT BY U.S. MAIL,  
FIRST CLASS, TO THE ASSISTANT COMMISSIONER FOR  
PATENTS, WASHINGTON, D.C. 20231, THIS 17<sup>th</sup> DAY OF

March 11, 2000  
\_\_\_\_\_  
PATENT ATTORNEY

In response to the Notice to File Missing Parts of Application - Filing Date Granted  
dated March 9, 2000, Applicant encloses the following documents to complete the above-identified

Repln. Ref: 01/16/2001 MNGUYEN 0015105900  
DA#110982 Patent application filed January 20, 2000:  
FC: 704 \$65.00 CR

1. A check in the amount of 105.00 to cover the surcharge fee of 65.00,  
recording fee of \$40.00.

Adjustment date: 06/28/2000 WCLAYBRO  
03/24/2000 MMARMOL 00000162 09446875 Declaration executed by the inventor(s).  
01 FC:205 -65.00 OP 06/28/2000 WCLAYBRO 0000042 110982 09446875

3. Power of Attorney.
4. Executed Assignment of the invention to BTG Biomass Techhnology Group  
B.V., Sparqe International B.V., and Recordation Form Cover Sheet.
5. Submission under 37 C.F.R. 3.73 (b).
6. Two executed Statement of Small Entity Status.

03/24/2000 MMARMOL 00000162 7 09446875  
01 FC:205 Notice to File Missing Parts of Application-Filing Date Granted.  
65.00 OP



-2-

The Commissioner is authorized to charge payment of any additional fees associated with this paper or credit any overpayment to Deposit Account No. 11-0982. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

KINNEY & LANGE, P.A.

By: 

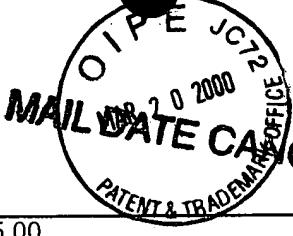
Jeffrey D. Shewchuk, Reg. No. 37,235  
THE KINNEY & LANGE BUILDING  
312 South Third Street  
Minneapolis, MN 55415-1002  
Telephone: (612) 339-1863  
Fax: (612) 339-6580

JDS:beh

SECTOR 88

500

## FEE TRANSMITTAL



Total Amount of Payment: \$ 105.00

Complete if Known	
Application No.	09/446,875
Filing Date	December 22, 1999
First Named Inventor	Hubertus E. M. STASSEN et al.
Group Art Unit	
Examiner Name	
Atty. Docket Number	B758.312-1

## METHOD OF PAYMENT (Check One)

1.  The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. 1.16 and 1.17 and credit any over payments to Deposit Account No.11-0982.

2.  Check Enclosed

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
101	760	201	380	<input type="checkbox"/> Utility Filing Fee
136	310	206	155	<input type="checkbox"/> Design Filing Fee
108	760	208	380	<input type="checkbox"/> Reissue Filing Fee
114	150	214	75	<input type="checkbox"/> Prov. Filing Fee

Subtotal (1) \$0

Adjustment date: 01/16/2001 NGUYEN  
 02/25/2000 PAYMENT 000043 110982 09446875

01 FC:581

Number Prior Extra Fee from Below Fee Paid

Total               =        x        =       

Indep.               =        x        =       

Multiple Dependent Claims        \* =       

\*\*Insert 3 and 20, or number previously paid if greater; Reissue see below

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Description
103	18	203	9
			Claims in excess of 20
102/2000 78	LAYPR 202000043	39	Independent claims in excess of 39 of 09446875
104	260	204	Multiple Dependent Claim
109	78	209	39
			Reissue Independent Claims Over Original Patent
110	18	210	9
			Reissue claims in excess of 20 and over original patent

Subtotal (2) \$0

## FEE CALCULATION (Continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - Late filing fee or oath	X
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	*
139	130	139	130	Non-English specification	*
147	2,520	147	2,520	For Filing a Request for Reexamination	*
115	110	215	55	Extension for reply within first month	*
116	380	216	190	Extension for reply within second month	*
117	870	217	435	Extension for reply within third month	*
118	1,360	218	680	Extension for reply within fourth month	*
128	1,850	280	925	Extension for reply within fifth month	*
120	300	220	150	Filing a brief in support of an appeal	*
121	260	221	130	Request for oral hearing	*
148	110	248	55	Terminal Disclaimer Fee	*
140	110	240	55	Petition to revive - unavoidable	*
141	1,210	241	605	Petition to revive - unintentional	*
142	1,240	242	635	Utility/Reissue issue fee (inc. advance copies)	*
143	460	243	245	Design issue fee (inc. advance copies)	*
122	130	122	130	Petitions to the Commissioner	*
123	50	123	50	Petitions related to provisional applications	*
126	240	126	240	Submission of Information Disclosure Statement	*
581	40	581	40	Recording each patent assignment per property (times number of properties)	X
Other fee (specify) _____					

Subtotal (3) \$105.00

Signature \_\_\_\_\_

Reg. No. 37,235

Date \_\_\_\_\_

March 17, 2000

Deposit Account No. 11-0982

STATEMENT OF  
SMALL ENTITY STATUS  
(SMALL BUSINESS CONCERN)

Attorney Docket No.

B758.312-1

First Named Inventor: Hubertus E. M. STASSEN et al.Title: METHOD OF THERMICALLY TREATING A CARBONACEOUS MATERIAL  
COMPRISING AQUEOUS FLUID AND A APPARATUS THEREFOR

With respect to the invention described in

the application filed herewith;  
 application Serial No. PCT/NL98/00371, filed June 26, 1998;  
the United States application Serial No. \_\_\_\_\_, filed \_\_\_\_\_;

**I. IDENTIFICATION OF DECLARANT AND ANY RIGHTS AS A SMALL ENTITY**

I am:

the owner of the small business concern identified below:

an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN Spargle International B.V.ADDRESS OF CONCERN Boerhaavelaan 187555 BC Hengelo, the Netherlands

The above-identified small business concern qualifies as a small business concern as defined in 37 C.F.R. 1.9(d), for purposes of paying reduced fees under 35 U.S.C. 41(a) and (b).

**II. OWNERSHIP OF INVENTION BY DECLARANT**

Rights under contract or law remain with or have been conveyed to the above-identified concern. If the rights held are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person who could not be classified as (1) an independent inventor under 37 C.F.R. 1.9(c) if that person had made the invention, (2) a small business concern under 37 C.F.R. 1.9(d) or (3) a non-profit organization under 37 C.F.R. 1.9(e).

(check one)

There is no such person, concern, or organization.

The person, concerns or organizations are listed below:

X NAME BGT Biomass Technology Group B.V.ADDRESS Drienerlolaan 5, NL-7522 NB Enschede, the Netherlands

Individual

 Small Business Concern

Nonprofit Organization

\*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.

**III. ACKNOWLEDGMENT OF DUTY TO NOTIFY PTO OF STATUS CHANGE**

I acknowledge the duty to file, in this application or patent, notification of any change resulting in loss of entitlement to small entity status pursuant to 37 C.F.R. 1.28(b).

**IV. SIGNATURE**Signature: J.M.L. Penninger Date: 01/20/2000Printed Name: J. M. L. PENNINGERTitle: Managing Director



## STATEMENT OF SMALL ENTITY STATUS (SMALL BUSINESS CONCERN)

Attorney Docket No.

B758.312-1

First Named Inventor: Hubertus E. M. STASSEN et al.Title: METHOD OF THERMALLY TREATING A CARBONACEOUS MATERIAL  
COMPRISING AQUEOUS FLUID AND A APPARATUS THEREFOR

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the application filed herewith;  
 application Serial No. PCT/NL98/00371, filed June 26, 1998;  
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I am:

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an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN BTG Biomass Technology Group B.V.ADDRESS OF CONCERN Drienerlolaan 5,7522 NB Enschede, the Netherlands

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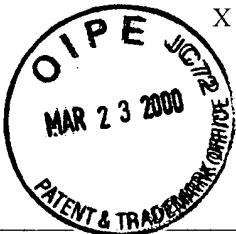
### II. OWNERSHIP OF INVENTION BY DECLARANT

Rights under contract or law remain with or have been conveyed to the above-identified concern. If the rights held are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person who could not be classified as (1) an independent inventor under 37 C.F.R. 1.9(c) if that person had made the invention, (2) a small business concern under 37 C.F.R. 1.9(d) or (3) a non-profit organization under 37 C.F.R. 1.9(e).

(check one)

There is no such person, concern, or organization.

The person, concerns or organizations are listed below:

X NAME Sparcle International B.V.ADDRESS Boerhaavelaan 18, 7555 BC Hengelo, the Netherlands

Individual

 Small Business Concern

Nonprofit Organization

**\*NOTE:** Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.

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**IV. SIGNATURE**

Signature:

Date: 20/01/2000Printed Name: H. M. STASSENTitle: DIRECTOR